

Applicant or Patentee:
Serial or Patent No.:
Filed or Issued:
For:

HALTMEYER, John M.
To be assigned
February 14, 2002
THOROUGH OPERATION RESTRICTION

Attorney's Docket No: HALTMEYER-PA-2

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
STATUS (37 CFR 1.27(a) and 1.27(c)(1)) - SMALL BUSINESS CONCERN**

FULL NAME: TriCerat, Inc.
ADDRESS: 10320 Little Patuxent Parkway
Suite 304
Columbia, Maryland 21044

☐ INDIVIDUAL ☒ SMALL BUSINESS CONCERN ☐ NON PROFIT ORGANIZATION

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 37 CFR 1.27(a)(2), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed and remain with the small business concern identified above with regard to the invention entitled THOROUGH OPERATION RESTRICTION described in

☒ the specification filed herewith (February 14, 2002)
☐ provisional application serial no. _____ ☐ patent no. _____, ☐ issued ☐ filed ☐

The rights held by the above-identified small business concern are exclusive and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.27(a)(2) or by any concern which would not qualify as a small business concern under 37 CFR 1.27(a)(2) or a nonprofit organization under 37 CFR 1.27(a)(3).

I acknowledge the duty to file, in this application or patent, new determination of entitlement to small entity status, or notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR §1.27(g)(1)&(2)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made shall be considered as a fraud practiced or attempted on the Office (37 CFR §§1.27(h)(1)&(2)), and are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.



Royal W. Craig
(Attorney for Applicant)

Date February 14, 2002

Reg. No. 34,145

2002 FEB 14 09:43:00

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**STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR §1.9(f) and 1.27(c)(1)) - INDEPENDENT INVENTOR**

The below named inventor qualifies as an independent inventor as defined in 37 CFR §1.27(a) for purposes of paying reduced fees under sections 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled THOROUGH OPERATION RESTRICTION described in

☒ the specification filed herewith (February 14, 2002)
☐ provisional application serial no. _____, ☐ patent no. _____, ☐ issued ☐ filed

The below named inventor has not assigned, granted, conveyed or licensed and is under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR §1.27(a)(1) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR §1.27(a)(2) or a nonprofit organization under 37 CFR §1.27(a)(3).

Each person, concern or organization to which the below named inventor has assigned, granted, conveyed, or licensed or is under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below.

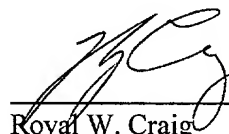
☐ no such person, concern, or organization
☒ persons, concerns, or organizations listed below

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Royal W. Craig
(Attorney for Applicant)
Reg. No. 34,145

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

HALTMEYER, John M.

Appln. No. to be assigned

Filed: February 14, 2002

For: THOROUGH OPERATION RESTRICTION

* * *

CHANGE OF ADDRESS

Hon. Commissioner of Patents
and Trademarks
Washington, D.C. 20231

Sir:

I, Royal W. Craig, am presently attorney of record for the above mentioned application,
as shown by the records in the United States Patent and Trademark Office. Please change my
correspondence address as follows:

Law Offices of Royal W. Craig
10 North Calvert Street
Suite 153
Baltimore, Maryland 21202

Respectfully submitted,



Royal W. Craig
Reg. No. 34,145
(410) 385-2383
Attorney for Applicant

20020214-0349001